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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Attorney Docket No. 108827-129CON)

Applicant: Wang, David G. ) Examiner:  
Serial No: 10/027,632 ) Art Unit:  
Filed: December 21, 2001 )

#3

For: IDENTIFICATION AND MAPPING OF SINGLE NUCLEOTIDE  
POLYMORPHISMS IN THE HUMAN GENOME

\*\*\*\*\*

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.10

I hereby certify that the attached papers and fees are being deposited with the United States Postal Service as "Express Mail Post Office to Addressee" Service under 37 C.F.R. §1.10 on April 30, 2002 and is addressed to: BOX SEQUENCE, Commissioner for Patents, Washington, D.C. 20231.

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Jo-Ann Bergantino  
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Washington, D.C. 20231

Response to Notice to Comply

Dear Sir:

In response to the Notice to Comply mailed March 14, 2002 (copy enclosed) that has issued in the above-referenced application ("Application"), Applicants are submitting herewith copies of the Preliminary Amendment, Sequence Statement, and Sequence Listing in Computer-Readable form that were filed on January 28, 2002 and received by the Patent Office on February 21, 2002 (copy of return post-card also enclosed).

Applicants respectfully request entry into the Application of the Preliminary Amendment filed January 28, 2002.

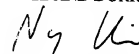
Remarks and Conclusion

Applicants respectfully aver that the Preliminary Amendment, Sequence Statement, and Sequence Listing in Computer-Readable form that were filed on January 28, 2002 fully overcome the requirements of the Notice to Comply.

No fees are believed to be due in connection with this filing. However, please charge any underpayments or credit any overpayments to our Deposit Account No. 08-0219.

If there are any questions, please call the undersigned at the telephone number indicated below.

Respectfully submitted,  
HALE AND DORR LLP



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Nancy Chiu, Ph.D.  
Reg. No. 43,545  
Agent for Applicant

Date: April 30, 2002

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Boston, MA 02109  
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(617) 526-5000 (fax)



Title: **IDENTIFICATION AND MAPPING OF SINGLE NUCLEOTIDE**  
 Serial/Patent #: **10/027,632** Inventor: **Maing et al.** Applicant: **SNP Consortium**  
 The following have been received by the US Patent and Trademark Office on the date stamped hereon:

☐ Express Mail Label No. ☐ Fee Transmittal Form ☐ Transmittal Form  
☒ Certificate of Mailing - 37 CFR 1.8 (a) ☐ Deposit Account Authorization  
☐ Applicant Claims Small Entity Status ☐ Copy of/□ Response to: *Notice to File Missing Parts*  
☐ Provisional Application Cover Sheet ☒ Preliminary Amendment  
☐ New Application (\_\_\_\_ Design) ☐ IDS, PTO-1449, and \_\_\_\_\_ publications (Supl. \_\_\_\_\_)  
 Specification - Total Pages \_\_\_\_\_ ☒ Sequence Listing *A CD-ROM W Disc(CRP) □ Paper*  
 Formal Drawings - Total Sheets \_\_\_\_\_ ☐ Petition for \_\_\_\_\_ month extension of time  
☐ CPA application ☐ RCE application ☐ Response to Office Action / Restriction Req.  
☐ Oath of Declaration: \_\_\_\_\_ newly executed ☐ Notice of Appeal  
 \_\_\_\_\_ unsigned; \_\_\_\_\_ copy from priority case ☐ Appellant's Brief (triplicate) ☐ Reply Brief  
☐ Assignment and Recordation Form ☐ Issue Fee + \_\_\_\_\_ soft copies / ☐ Maintenance Fee  
☐ Application Data Sheet (Initial Information Data Sheet)  
☐ Continuation ☐ Divisional ☐ Continuation-in-Part of App No. \_\_\_\_\_  
☒ Other: **Sequence Statement and Declaration**  
☐ Other: \_\_\_\_\_  
 Mailing Date: **01/28/02** CM No. **108827-129** Filed By: **WC/j+b**

Box Sequence  
 Commissioner for Patents  
 Washington, DC 20231

Client	SNP Consortium	Date	01/28/02	Amount
Matter	Client/Matter No. 108827.129			
Addressee	Box Sequence, Commissioner for Patents, Washington, DC 20231			
Attorney	Chiu	Atty. No.	5825	

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Title: IDENTIFICATION AND MAPPING OF SINGLE NUCLEOTIDE

Serial/Patent #: 10/027,632 1<sup>st</sup> Inventor: Wang Applicant: SNP Consortium

The following have been received by the US Patent and Trademark Office on the date stamped hereon.

☐ Express Mail Label No. ☐ Fee Transmittal Form ☐ Transmittal Form

☒ Certificate of Mailing - 37 CFR 1.8 (a) ☐ Deposit Account Authorization

☐ Applicant Claims Small Entity Status ☐ Copy of ☐ Response to: Notice to File Missing Parts

☐ Provisional Application Cover Sheet ☒ Preliminary Amendment

☐ New Application (Design) ☐ IDS, PTO-1449, and publications (Supl.)

Specification - Total Pages ☒ Sequence Listing ☒ CD-ROM ☒ CP Disc (CRF) ☐ Paper

Formal Drawings - Total Sheets ☐ Petition for month extension of time

☐ CPA application ☐ RCE application ☐ Response to Office Action / Restriction Req.

☐ Oath of Declaration: newly executed ☐ Notice of Appeal

unsigned; copy from priority case ☐ Appellant's Brief (triplicate) (☐ Reply Brief)

☐ Assignment and Recordation Form ☐ Issue Fee + soft copies / ☐ Maintenance Fee

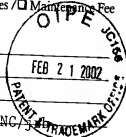
☐ Application Data Sheet (Initial Information Data Sheet)

☐ Continuation ☐ Divisional ☐ Continuation-in-Part of App No:

☒ Other: Sequence Statement and Declaration

☐ Other:

Mailing Date: 01/28/02 CM No. 108827.129 Filed By: NC/





## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/027,632	12/21/2001	David G. Wang	108827.129 CON

23483  
HALE AND DORR, LLP  
60 STATE STREET  
BOSTON, MA 02109



CONFIRMATION NO. 1497

## FORMALITIES LETTER



\*OC00000007642765\*

Date Mailed: 03/14/2002

### NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- A request to transfer the computer readable form from another application on file at the U.S. Patent and Trademark Office has been submitted as permitted by 37 C.F.R. 1.821(e). However, the request cannot be complied with since there is no compliant CRF present at the United States Patent and Trademark Office. Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d).

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

*A copy of this notice **MUST** be returned with the reply.*

*Y.G.*  
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Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE